

## DEPARTMENT OF ENERGY

### ADMINISTRATIVE RECORDS SCHEDULE 9 TRAVEL AND TRANSPORTATION RECORDS

12-22-00

08-18-03 (last update)

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, including that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Record copies of all travel, transportation, and freight documents used to support payments become components of the accountable officers' accounts. Disposition for commercial transportation and freight site audit records is covered by item 1 of this schedule. Individual, noncommercial, reimbursable travel site audit records are covered by DOE Administrative Records Schedule (ADM) 6, item 1a, item 10, or item 11. Some copies become accounting posting media, which are covered by General Records Schedule 7, item 4.

- a. Movement of Goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for civilian employees of the Government. If shipping certain valuables covered by the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.
- b. Movement of persons. The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by DOE ADM 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by DOE ADM Records Schedule 6, item 10.

All records described in this schedule are authorized for disposal in both hard copy and electronic format. Retirement of non-current records to inactive storage is authorized.

**1. Commercial Freight and Passenger Transportation Files. (GRS 9, item 1)**

- a. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule.

Destroy 6 years after the period of the account.

- b. Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period, as such as detection of overcharge.

Destroy when 10 years old.

- c. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents. See also 1.1, below.

Destroy 6 years after the period of the account.

- d. Obligation copy of commercial passenger transportation vouchers.

Destroy when funds are obligated.

- e. Unused ticket redemption forms, such as SF 1170.

Destroy 3 years after the year in which transaction is completed.

**1.1 Foreign Travel Authorizations. (N1-434-98-12)**

Forms, reports, briefing statements, correspondence, and other records created for travel to foreign countries for programmatic, national security, or personal reasons.

- a. Records related to travel to foreign countries for programmatic reasons.

Cut off at end of fiscal year. Destroy 7 years after cutoff.

- b. Records related to travel to foreign countries for personal reasons.

Cut off at end of fiscal year. Destroy 7 years after cutoff.

**2. Lost or Damaged Shipments Files.** (GRS 9, item 2)

Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.

Destroy when 6 years old.

**3. Noncommercial, Reimbursable Travel Files.** (GRS 9, item 3)

Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

- a. Travel administrative office files.

Destroy when 6 years old.

- b. Obligation copies.

Destroy when funds are obligated.

**4. General Travel and Transportation Files.** (GRS 9, item 4)

- a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.

Destroy when 2 years old.

- b. Accountability records documenting the issue or receipt of accountable documents.

Destroy 1 year after all entries are cleared.

**5. Records Relating to Official Passports.** (GRS 9, item 4)

- a. Application files.

Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.

Destroy when 3 years old or upon separation of the bearer, whichever is sooner.

b. Annual reports concerning official passports.

Reports to the Department of State concerning the number of official passports issued and related matters.

Destroy when 1 year old.

c. Passport registers.

Registers and lists of agency personnel who have official passports.

Destroy when superseded or obsolete.

[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State.

**6. RESERVED.** (GRS 9, item 6, GRS Transmittal 9)

**7. Federal Employee Transportation Subsidy Records.** (GRS 9, item 7, GRS Transmittal 9)

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded application, certification logs, vouchers, spreadsheets, and other forms used to document disbursements of subsidies.

Destroy when 3 years old.

**8. Electronic Mail and Word Processing System Copies.** (N1-434-98-12)

[This item has been renumbered from 6 to 8 as a result of the GRS Transmittal 9 changes]

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy when no longer required for use in revising or disseminating the record.